DOCUMENT RESUME

ED 220 094 IR 010 314

AUTHOR Shaughnessy, Thomas W.
TITLE Procedures for Inventorying and Replacing Missing Monographs in a Large Research Library.
PUB DATE 81
NOTE 10p.

EDRS PRICE MF01/PC01 Plus Postage.
DESCRIPTORS Books; Check Lists; *College Libraries; *Facility Inventory; Guidelines; Higher Education; Library Collections; *Library Materials; *Library Technical Processes; *Property Accounting; Research Libraries

ABSTRACT

Divided into inventory project procedures for the identification of missing books for future replacement and inventory guidelines for use by subject librarians to determine whether an item should be replaced, this report sets forth very specific procedures for conducting a comprehensive inventory of monographic holdings. They are based on experience gained through the University of Houston's inventory of monograph collections in the central research library, which was initiated partly to combat the frustration experienced by users when missing books are not traceable to shelving and loan procedures. Information is provided on work scheduling, performance standards, and the correction of bibliographic records, and an inventory problem checklist is included. (Author/RAA)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

ED220094

1

U.S. DEPARTMENT OF EDUCATION
NATIONAL INSTITUTE OF EDUCATION
EDUCATIONAL RESOURCES INFORMATION
CENTER (ERIC)

This document has been reproduced as received from the person or organization originating it.

☐ Minor changes have been made to improve reproduction quality.

• Points of view or opinions stated in this document do not necessarily represent official NIE position or policy.

PROCEDURES FOR INVENTORYING AND REPLACING MISSING MONOGRAPHS IN A LARGE RESEARCH LIBRARY

by

Thomas W. Shaughnessy
Assistant Director for Public
Services and Collection Development
University of Houston Libraries
Houston, Texas 77004

1981

IR010314

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY

Thomas W. Shaughnessy

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

Introduction

In the Fall of 1981, the University of Houston Libraries decided to inventory the monograph collections contained in the central (M.D. Anderson) research library. The Library is a member of the Association of Research Libraries and contains approximately 1.3 million volumes. The Library is located on an urban campus a few miles from center city, and serves over 25,000 students most of whom commute from off-campus residences.

A comprehensive inventory had never before been conducted in the Library. However, a recently completed "Public Services Review" indicated considerable user frustration over books which were not on the shelves and not on loan to borrowers. The University of Houston Library was the first library to undertake this Review, which is a consultant assisted self-study recently developed by the Office of Management Studies of The Association of Research Libraries. The Public Services Review was initiated in January and completed in July, 1981.

Unlike other collection inventories which have been undertaken in recent years in small libraries or in branch libraries of large research libraries, the University of Houston Library inventory focuses only on monograph holdings. (A serials inventory is planned for a later date.) Its purpose, furthermore, was not to correct cataloging records or shelf-list data, but to identify missing titles so that they might be replaced. If certain titles are not to be replaced, then card sets for these titles will be withdrawn from the public catalog.

The project is also unusual in that it involves participation by <u>every</u> member of the Library's staff, including administrators. Four teams of two persons are assigned to the inventory each week, Monday through Thursday,

and each team must complete one tray of shelf-list cards per day. It is estimated that the average tray contains 950 cards, and can be completed in three hours or less. The last day of each week (Friday) is spent by the shelving unit of the Circulation Department following up on titles in special locations (Reference, Reserve, etc.) and in double checking those titles identified as missing. It is anticipated that the monographs inventory will require ten months to complete.

Specific procedures for the project follow.

INVENTORY PROJECT PROCEDURES

1. The Inventory Project is designed to identify missing books so that they might be replaced. All library staff are expected to participate. Eight staff will be assigned to the project each week. Four teams will be established, with 2 persons to a team. Each team will be given a shelf-list tray which should be completed within three hours.

   It is estimated that the project will require 30 weeks for completion, so it is likely that each staff member will need to devote two weeks to it.

   It is important that each team complete the shelf-list tray assigned to it. There should be four completed trays per day - i.e., one tray per team.

   The rod holding the cards in the tray is not to be removed.

   Each team should have a book truck, pencils, paperclips, colored clips, filing error cards, and a supply of inventory forms.

2. The inventory will include only monographs (books). Serials, bound journals, or magazines will not be counted. Serials are identified with notations on cards which read: See CSR, Acme file, etc.

   Cards which indicate that the only copy owned is in a branch library, in Documents, or in Special Collections should be skipped.

   Temporary cards (orange/or paper slips) should be checked, however.

3. Cards which indicate that the books are in special locations in the main library (other than Documents and Special Collections) should be tagged with a colored clip.

4. Cards which indicate both a special location in the main library and a location in the stacks, should be marked with a colored clip (to indicate special locations). Stack copies of the title should then be treated as below (Steps 5 through 10). Some cards, therefore, may have both a paper clip and a colored clip.

5. If teams find shelf-list cards which are out-of-order, do not rearrange the misfiled cards but simply insert a red "error in filing" card and keep going.

6. One member of the team calls out call numbers and copy and/or accession numbers, while the other member checks for the title on the shelves.

7. If the book and shelf-list agree, move on to the next card and book.

8. If books are found to be misshelved, reshelve them in proper order, or place on lower shelf of booktruck for reshelving by the Circulation Department.

9. If the book is present but there is no shelf-list card, complete an inventory form, (sample attached), insert it in the book, and place the book on the top shelf of a booktruck.

10. For a single copy of a title which is missing from the shelves, flag the upper right corner of the card with a paper clip.

11. If a card indicates a multi-volume set (i.e., two or more volumes having the same title), make sure that all of the volumes are present. If they are not, clip the card with a paper clip, and write a question mark adjacent to the volume number which is missing.

12. For multiple copies of the same title, check each book against either the accession number or the copy number. Accession and copy numbers frequently appear on the back of the shelf-list cards. In books, they appear on the spine label and/or on the title page, and inside the book cover. If certain copies of a book are missing:

    (a) write in pencil a question mark (?) to the right of the appropriate copy or accession number on the shelf-list card,

    (b) flag the shelf-list card with a paper clip.

13. If the spine label is missing or incorrect, not the problem on an inventory form, insert in book and place book on truck.

14. When the tray of shelf-list cards has been checked against books in the stacks, the team will then check on those titles which have colored clips indicating special locations: Juvenile, maps, Phi Kappa Phi, reference, micro, permanent reserve. The Circulation Department staff will direct the teams to these locations. As each special location title is checked, remove the colored clips. If books are found to be missing, replace the colored clips with paper clips, or follow the procedures in 10-13 above.

15. When the tray of shelf-list cards has been finished, take the tray and booktruck to the Circulation Department. Circulation will remove all misshelved books (see item 8) and take the booktruck with the remaining books to the Circulation Department.

16. The Circulation Department will examine the paper-clipped cards in the tray to:

    (a) determine whether missing copies are on loan; if they are, question marks should be erased and papers clips removed.

    (b) maintain a tally of all volumes which cannot be accounted for.

    (c) search for missing books.

17. Books which are missing are charged out to "inventory" in CLSI. If the missing title is not in the CLSI data base, the appropriate shelf-list card will be photocopied by circulation. As these steps are taken, the paper clip should be removed.

18. However, if the library owns three or more copies of a title, the item should be skipped (that is, it should not be checked out to "inventory," nor should the shelf-list card be photocopied.) In addition, the paper clip should NOT be removed.

19. Shelf-list trays are returned to the Cataloging Department.

20. Missing books will be searched for three weeks. If they are not found, a CLSI print-out of missing titles and/or photocopies of shelf-list cards are given to subject librarians for action.

21. If books from other libraries or from UH branch libraries are found, place them on the book truck (lower shelf).

INVENTORY GUIDELINES FOR SUBJECT LIBRARIANS

1. Subject librarians will review all missing titles for the purpose of deciding whether a particular title or added copy of a title should be replaced.

2. In order to facilitate the decision-making process, the following general guidelines should be followed:

   (a) Do not replace multiple copies of books if the Library has at least three copies (in various locations).

   (b) Do not replace text books or books of readings unless there are special reasons for doing so.

   (c) Do not replace (except in the field of literature) previous editions of a title when the Library owns a later edition, unless it is a critical edition.

   (d) Do not replace vanity press books.

   (e) Do not replace older edition guidebooks, handbooks, almanacs, fact books or other types of material which emphasize current information.

3. In addition to the above, the following specific guidelines should also be observed, depending on the discipline in question.

   (a) Sciences: Do not replace science books which were published prior to 1975, unless

   -there are compelling reasons for doing so,
   -the title is a classic or benchmark in the field,
   -the title is in the history or philosophy of science area,
   -the title is in the field of mathematics.

   (b) Social Sciences: Do not replace older works (e.g., published prior to 1970), unless

   -the title is in the fields of anthropology, archeology, or history,
   -the title continues to be recognized as an important work. (This might more frequently occur in economics and political science.);

   Do not replace older works on research or data gathering methods;
   Do not replace works which contain old or superceded data;
   Do not replace foreign language titles.

   (c) Humanities: Do not replace earlier editions of works owned in later edition(s), unless there are reasons for doing so;
   Do not replace minor works of minor writers;
   Do not replace material in languages other than European or Classical.

4. Since many titles which are found to be missing will not be in print (and therefore may or may not be available), it is important to exercise judgement in deciding whether the labor costs involved in o.p. searching warrant the acquisition of a specific dated work.

5. If a decision is made not to replace a title (or copy of a title), the subject librarian should draw a line through the title and return the list or photocopy of the shelf-list card to Circulation.

6. Missing titles (or copies of same) which are to be replaced should be handled as follows:

   (a) the list of titles to be replaced is given to a typist;

   (b) the typist types a BATAB order form for each title. The subject agency code, "918" should be indicated. Each BATAB form should be stamped "inventory."

   (c) BATAB order forms which are the result of the inventory are given to the appropriate subject librarian for special handling. These replacement orders should not be combined with other orders.

   (d) the Acquisitions Department will check Books-in-Print for availability and price information.

   (e) if the missing title is wanted immediately, it should be ordered out of subject funds.

7. All in print materials will be ordered first (as soon as the grant funds become available). O-P titles will be held in Acquisitions until all in-print replacements have been ordered.

Revised: November 4, 1981

UNIVERSITY OF HOUSTON LIBRARIES
INVENTORY 1981/82

INVENTORY PROBLEMS CHECKLIST

Please check the appropriate problem or problems. Place the form in appropriate book and place book on book track.

1. ___ Call No. in book and on spine or book cover do not match.

2. ___ Call No. in book does not match shelf list.

3. ___ Label on spine or book cover incorrect.

4. ___ New label needed.

5. ___ No card in shelf list.

6. ___ Accession No. incorrect.

7. ___ Copy No. incorrect.

8. ___ Vol. No. incorrect.

9. ___ Accession No. not recorded on shelf list card.

10. ___ Copy No. not recorded on shelf list card.

11. ___ Vol. No. not recorded on shelf list card.

12. ___ Location symbol on book and shelf list card do not match.

13. ___ Withdrawn record in shelf list for book on shelf.

14. ___ Other. Specify_____

_____

_____

_____
Date

_____
Initials of Inventory Team